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Electronic Patent Application Submission  
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EFS ID: 50147  
Application ID: 10604699  
Title of Invention: PROCESS FOR THE SELECTION  
AND EVALUATION OF  
INVESTMENT PORTFOLIO ASSET  
First Named Inventor: James CHARNLEY  
Domestic/Foreign Application: Domestic Application  
Filing Date: 2003-08-11  
Effective Receipt Date: 2003-11-04  
Submission Type: Information Disclosure  
Statement  
Filing Type:  
Confirmation number: 1698  
Attorney Docket Number: P00898-US1



Total Fees Authorized:

Digital Certificate Holder: cn=David Josephs,ou=Registered Attorneys,ou=Patent and Trademark  
Office,ou=Department of Commerce,o=U.S. Government,c=US  
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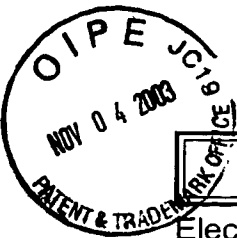


# TRANSMITTAL

Electronic Version v1.1

Stylesheet Version v1.1.0


| <b>Title of<br/>Invention</b>  | <b>PROCESS FOR THE SELECTION AND EVALUATION OF<br/>INVESTMENT PORTFOLIO ASSET</b> |                |                           |             |                |   |                    |            |  |            |
|--|---|----------------|---------------------------|-------------|----------------|---|--------------------|------------|--|------------|
| <p>Application Number: 10/604699 </p> <p>Date: 2003-08-11</p> <p>First Named Applicant: Mr. James A. CHARNLEY Jr.</p> <p>Confirmation Number: 1698</p> <p>Attorney Docket Number: P00898-US1</p>   |   |                |                           |             |                |   |                    |            |  |            |
| <p>I hereby certify that the use of this system is for OFFICIAL correspondence between patent applicants or their representatives and the USPTO. Fraudulent or other use besides the filing of official correspondence by authorized parties is strictly prohibited, and subject to a fine and/or imprisonment under applicable law.</p> <p>I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document(s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.</p> |   |                |                           |             |                |   |                    |            |  |            |
| <table border="1"><thead><tr><th>Submitted by:</th><th>Elec. Sign.</th><th>Sign. Capacity</th></tr></thead><tbody><tr><td>Mr. David R. Josephs<br/>Registered Number: 34,632</td><td>/david r. josephs/</td><td>Attorney</td></tr></tbody></table>   |   |                | Submitted by:             | Elec. Sign. | Sign. Capacity | Mr. David R. Josephs<br>Registered Number: 34,632 | /david r. josephs/ | Attorney   |  |            |
| Submitted by:  | Elec. Sign.   | Sign. Capacity |                           |             |                |   |                    |            |  |            |
| Mr. David R. Josephs<br>Registered Number: 34,632  | /david r. josephs/  | Attorney       |                           |             |                |   |                    |            |  |            |
| <table><tr><td>Documents being submitted</td><td>Files</td></tr><tr><td>us-ids</td><td>P00898US1-usidst.xml</td></tr><tr><td></td><td>us-ids.dtd</td></tr><tr><td></td><td>us-ids.xsl</td></tr></table>  |   |                | Documents being submitted | Files       | us-ids         | P00898US1-usidst.xml                              |                    | us-ids.dtd |  | us-ids.xsl |
| Documents being submitted  | Files   |                |                           |             |                |   |                    |            |  |            |
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|  | us-ids.xsl  |                |                           |             |                |   |                    |            |  |            |
| <b>Comments</b>  |   |                |                           |             |                |   |                    |            |  |            |



ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

|   |  |            |            |                |   |       |          |
|---|--|------------|------------|----------------|---|-------|----------|
| Title of Invention  | PROCESS FOR THE SELECTION AND EVALUATION OF INVESTMENT PORTFOLIO ASSET |            |            |                |   |       |          |
| Application Number: 10/604699   |  |            |            |                |  |       |          |
| Confirmation Number: 1698   |  |            |            |                |   |       |          |
| First Named Applicant: James CHARNLEY   |  |            |            |                |   |       |          |
| Attorney Docket Number: P00898-US1  |  |            |            |                |   |       |          |
| Art Unit: 3624  |  |            |            |                |   |       |          |
| Search string: ( 6003018 or 6021397 or 6078904 or 6125355 ).pn.                     |  |            |            |                |   |       |          |
| US Patent Documents   |  |            |            |                |   |       |          |
| Note: Applicant is not required to submit a paper copy of cited US Patent Documents |  |            |            |                |   |       |          |
| init  | Cite.No.   | Patent No. | Date       | Patentee       | Kind  | Class | Subclass |
| /H.F./  | 1  | 6003018    | 1999-12-14 | Michaud et al. |   | 705   | 36       |
| /H.F./  | 2  | 6021397    | 2000-02-01 | Jones et al.   |   | 705   | 36       |
| /H.F./  | 3  | 6078904    | 2000-06-20 | Rebane         |   | 705   | 36       |
| /H.F./  | 4  | 6125355    | 2000-09-26 | Bekaert et al. |   | 705   | 36       |
| Signature   |  |            |            |                |   |       |          |
| Examiner Name   |  |            |            | Date           |   |       |          |
| /Hao Fu/  |  |            |            | 08/22/2007     |   |       |          |